



PATENT  
4300.012100  
UF#10014

### DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHODS FOR LARGE-SCALE PRODUCTION OF RECOMBINANT AAV VECTORS**, the Specification of which:

- ☐ is attached hereto.  
☒ was filed on **September 22, 1999** as Application Serial No. **09/404,448**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim the benefit under Title 35, United States Code, § 120 and/or § 365 of any United States application(s) and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which become available between the filing date of the prior application and the national or PCT international filing date of this application:

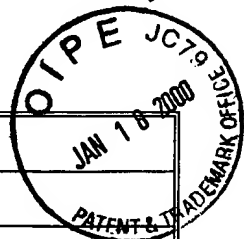
Application Serial No.	Filing Date	Status
60/101,507	September 22, 1998	Abandoned

I hereby direct that all correspondence and telephone calls be addressed to David W. Hibler, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are

*See Sub Ser. of 60/101,507*

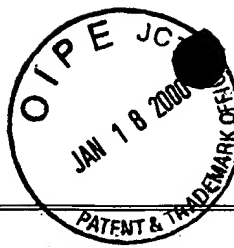
punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



Inventor's Full Name:	Barry	J.	Byrne
Inventor's Signature:			
Country of Citizenship:		Date:	12/16/99
Residence Address: (street, number, city, state, and/or country)	7902 SW 45TH LN. GAINESVILLE, FL 32608		
Post Office Address: (if different from above)			

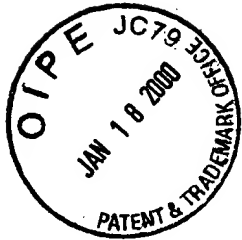
Inventor's Full Name:	James	E.	Conway
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Gary	S.	Hayward
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			



Inventor's Full Name:	Nicholas	Muzyzcka
Inventor's Signature:	<i>Nicholas Muzyzcka</i>	
Country of Citizenship:	USA	Date: 12/16/99
Residence Address: (street, number, city, state, and/or country)	9837 SW 67 Drive Gainesville FL 32608	
Post Office Address: (if different from above)		

Inventor's Full Name:	Sergei	Zolotukhin
Inventor's Signature:	<i>Sergei Zolotukhin</i>	
Country of Citizenship:	UKRAINE	Date: 12/16/99
Residence Address: (street, number, city, state, and/or country)	1122 SW 96 STR GAINESVILLE FL 32607	
Post Office Address: (if different from above)		



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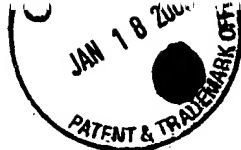
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punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	Barry	J.	Byrne
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

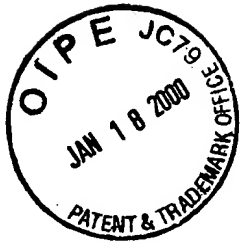
Inventor's Full Name:	James	E.	Conway
Inventor's Signature:	<i>James E Conway</i>		
Country of Citizenship:	US	Date:	11/19/99
Residence Address: (street, number, city, state, and/or country)	200 Meadowcreek Lane Apt H ELKTON MD 21921 USA		
Post Office Address: (if different from above)			

Inventor's Full Name:	Gary	S.	Hayward
Inventor's Signature:	<i>Gary S Hayward</i>		
Country of Citizenship:	New Zealand	Date:	11/19/99
Residence Address: (street, number, city, state, and/or country)	1026 Cowpens Ave. TOWN MD 21204 USA		
Post Office Address: (if different from above)			



Inventor's Full Name:	Nicholas		Muzyzcka
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Sergei		Zolotukhin
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Barry J. Byrne, James E. Conway, Gary S.  
Hayward, Nicholas Muzyczka and Sergei  
Zolotukhin

Group Art Unit: 1646

Examiner: Unknown

Serial No.: 09/404,448

Atty. Dkt. No.: 4300.012100

Filed: September 22, 1999

For: MATERIALS FOR LARGE-SCALE  
PRODUCTION OF RECOMBINANT  
AAV VECTORS

**DECLARATION CLAIMING SMALL ENTITY STATUS**  
**37 C.F.R. §§ 1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: University of Florida

Address of Organization: P.O. Box 115500  
Gainesville, Florida 32603

The type of organization is a university.

I hereby declare that the organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) (1), and thus is a "small entity" as defined in § 1.9(f), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the above-referenced application.

I hereby declare that exclusive rights to the invention have been conveyed to and remain with the organization, with respect to the above-referenced invention, nor have I assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e), with the exception that the Government may have rights in the invention pursuant to a funding agreement under 35 U.S.C. § 202(c)(4): National Institutes of Health Grant Nos. CA28473 and CA02943.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

UNIVERSITY OF FLORIDA

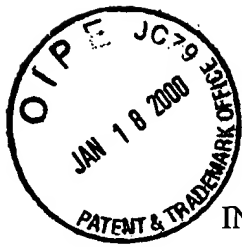
By: Thomas E. Walsh

Name: Thomas E. Walsh, Ph.D.

Title: Director of Sponsored Research

Date: 12/22/89





**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Barry J. Byrne, James E. Conway, Gary S.  
Hayward, Nicholas Muzyczka and Sergei  
Zolotukhin

Group Art Unit: 1646

Examiner: Unknown

Serial No.: 09/404,448

Atty. Dkt. No.: 4300.012100

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AAV VECTORS

**DECLARATION CLAIMING SMALL ENTITY STATUS**  
**37 C.F.R. §§ 1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

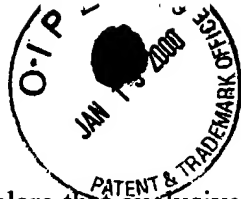
I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Johns Hopkins University

Address of Organization: 2024 E. Monument Street, Suite 2-1000  
Baltimore, Maryland 21202

The type of organization is a university.

I hereby declare that the organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) (1), and thus is a "small entity" as defined in § 1.9(f), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the above-referenced application.



I hereby declare that exclusive rights to the invention have been conveyed to and remain with the organization, with respect to the above-referenced invention, nor have I assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e), with the exception that the Government may have rights in the invention pursuant to a funding agreement under 35 U.S.C. § 202(c)(4): National Institutes of Health Grant Nos. CA28473 and CA02943.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

THE JOHNS HOPKINS UNIVERSITY

By: 

Name: Nina Ossanna, Ph.D.

Title: Assistant Dean and Director, OTL

Date: 12/13/99